

MPG 5000.1

REVISION E

EFFECTIVE DATE: June 28, 2004
EXPIRATION DATE: June 28, 2009

MARSHALL PROCEDURES AND GUIDELINES

PS01

PURCHASING

CHECK THE MASTER LIST at
<https://repository.msfc.nasa.gov/directives/directives.htm>
VERIFY THAT THIS IS THE CORRECT VERSION BEFORE USE

Marshall Procedures and Guidelines PS01		
Purchasing	MPG 5000.1	Revision: E
	Date: June 28, 2004	Page 2 of 25

DOCUMENT HISTORY LOG

Status (Baseline/ Revision/ Canceled)	Document Revision	Effective Date	Description
Baseline		5/14/99	Document converted from MSFC-P06.1 to a Directive. Previous history retained in system as part of canceled or superseded ISO Document files.
Revision	A	8/16/99	Organization titles and codes updated. Appendix D revised for expanded ISO scope to show MOU for credit card purchases is required only for flight hardware/software and associated ground support equipment, not for all items within scope. Applicable document numbers updated at P.4 (items x and y), 3.1.3, 3.2.2, 3.3.a, and 3.3.3.
Revision	B	3/6/00	Revised to change MPG 1441.1 "Control of Quality Records" at P.4, Item j. and 4.1, to MPG 1440.2 "MSFC Records Management Program".
Revision	C	6/4/01	Updated title of MWI 4530.1 in P.4 and 3.1.1. Update title of MWI 5330.1 in P.4, 3.2.4, and 3.3.3. Deleted QS01-QE-002 in P.4, 3.1.3 and 3.2.2. Deleted QS01-QE-006 in p.4, 3.3.a. and 3.3.3. Added QS01-QE-001, "Project Quality Instructions," in P.4, 3.1.4, 3.2.3, 3.3.1.1 and 3.3.4. Added titles to 3 procedures in 3.1, 3.2 and 3.3 and renumbered paragraphs accordingly. Revised Appendix A Flow Diagram. Changed "Vendor" to "Source" at Appendix A, Flow Diagram, Block B. Added to list of acronyms at Appendix C. Added "Weekly" to Annual Credit Card Audit at Appendix D. Deleted Memorandum of understanding to use credit card Procedures at Appendix D. Deleted Contractor Performance Assessment Program at Appendix D.
Revision	D	7/18/2003	Corrected URL in footer, and corrected grammatical errors. Changes made to comply with implementation of Integrated Financial Management Program (IFMP); throughout the document, deleted "Procurement Request" and substituted "Purchase request"; deleted "Initiator" and substituted "Requisitioner"; deleted "APRS"; deleted "PROMIS"; added "SAP". Deleted "Credit" and substituted "Governmentwide Commercial Purchase"; 1.2 reworded contract specialist; 1.4 reworded Contracting Officer's Technical Representative; Added definition in 1.6 for Data Procurement Document (DPD) and renumbered accordingly; 1.8 added definition for Purchase request; 1.10 deleted 1.10 definition for subcontractor; 1.11 added definition for SAP; Added 2.5 Center Data Requirements Manager Definition (CDRM; Paragraph 3, delete last sentence; 3.1.3, Added Data Procurement Document Requirements; 3.1.6 reworded paragraph; deleted all reference to MSFC Forms 55 and 404; 3.2.2 reworded paragraph; Appendix A deleted and substituted "See MWI 5100.1 Procurement Requisitioners Guide, Appendix A"; throughout the document, deleted "quality records" and substituted "records"; deleted "QS01..." and substituted "QS...". Appendix C Acronym, added DPD Data Procurement Document. Appendix D, Typical Procurement Records, added Schedule 5 to NPG 1441.1 as appropriate; Added COTR Correspondence Files; Notes 2 and 3 were moved to the beginning of Appendix D, and Note 1 was changed to a footnote and revised to include the Record Custodian role; changed Annual to Semi-Annual Self-Assessment Review (Procurement); changed name of Procurement Support Contractor.

Marshall Procedures and Guidelines PS01		
Purchasing	MPG 5000.1	Revision: E
	Date: June 28, 2004	Page 3 of 25

Revision	E	6/28/2004	Throughout the document, revised NPG to reflect NASA Procedural Requirements (NPR). Throughout the document, made renumbering revisions as needed. Throughout the document, revised references to Safety & Mission Assurance Office to Safety & Mission Assurance Directorate. Paragraph P.4 Applicable Documents, added NPR 5900.1, "NASA Spare Parts Acquisition". Paragraph P.6 CANCELLATION MPG 5000.1C dated June 4, 2001 revised to MPG 5000.1d dated July 18, 2003 and Director revised from A.G. Stephens to David King. Paragraph 3.1.3, revised to provide guidance on spare parts for a nonexpendable major system and replaced "five or more data requirements" with "all R&D services and non-commercial items contracts". Paragraph 3.2.2 replaced reference to quality provisions to S & MA provisions. Paragraph 3.2.2 replaced reference to quality organization to S&MA Directorate. Paragraph 3.2.4 added reference to MWI 5330.1. Paragraph 3.3.2 revised to meeting all safety requirements. Paragraph 3.3.4 revised to from quality plan to "and safety and health plans...
----------	---	-----------	---

Marshall Procedures and Guidelines PS01		
Purchasing	MPG 5000.1	Revision: E
	Date: June 28, 2004	Page 4 of 25

TABLE OF CONTENTS

Preface

- P.1 Purpose
- P.2 Applicability
- P.3 Authority
- P.4 Applicable Documents
- P.5 References
- P.6 Cancellation

Document Content

- 1. Definitions
- 2. Responsibilities
- 3. Procedure
- 4. Records
- 5. Flow Diagram

- Appendix A Procurement Process Flow Diagram
- Appendix B Procurement Organization Chart Showing "Customers"
Supported by Each Department
- Appendix C Acronyms
- Appendix D Typical Procurement Records

Marshall Procedures and Guidelines PS01		
Purchasing	MPG 5000.1	Revision: E
	Date: June 28, 2004	Page 5 of 25

PREFACE

P.1 PURPOSE

The purpose of this Marshall Procedures and Guidelines (MPG) is to document, pursuant to MPD 1280.1, "Marshall Management Manual," a consistent method of purchasing utilized at MSFC.

P.2 APPLICABILITY

This MPG applies to all organizations at MSFC and to all purchases made by MSFC personnel.

P.3 AUTHORITY

NPD 5101.32, "Procurement"

P.4 APPLICABLE DOCUMENTS

- a. Federal Acquisition Regulation (FAR)
- b. NASA Federal Acquisition Regulation Supplement (NFS)
- c. NPR 1441.1, "NASA Records Retention Schedules"
- d. NPR 5800.1, "Grant and Cooperative Agreement Handbook"
- e. NPR 5900.1, "NASA Spare Parts Acquisition"
- f. MPD 1280.1, "Marshall Management Manual"
- g. MPG 1050.1, "Contract (Customer Agreement) Review"
- h. MPG 1280.4, "MSFC Corrective Action System"
- i. MPG 1440.2, "MSFC Records Management Program"
- j. MPG 3410.1, "Training"
- k. MPG 8715.1, "Marshall Safety, Health, and Environmental (SHE) Program"
- l. MPG 8730.1, "Inspection and Testing"
- m. MPG 8730.3, "Control of Nonconforming Product"
- n. MWI 4530.1, "Flight Hardware Support Operations (FHSO) Component Acquisition, Inventory Control, and Kitting Services"

Marshall Procedures and Guidelines PS01		
Purchasing	MPG 5000.1	Revision: E
	Date: June 28, 2004	Page 6 of 25

- o. MWI 5000.1, "Processing NASA Research Announcements (NRAs) and Cooperative Agreement Notices (CANs)"
- p. MWI 5100.1, "Procurement Requisitioners Guide"
- q. MWI 5113.1, "Governmentwide Commercial Purchase Card Operating Procedures"
- r. MWI 5115.1, "Processing Unsolicited Proposals"
- s. MWI 5115.2, "Source Evaluation Board/Committee (SEB/C) Process"
- t. MWI 5116.1, "Evaluation of Contractor Performance under Contracts with Award Fee Provisions"
- u. MWI 5143.1, "Contract Change Process"
- v. MWI 5330.1, "Evaluation of Contractors, Suppliers, and Vendors"
- w. MWI 5330.2, "NASA Engineering and Quality Audit (NEQA)"
- x. MWI 7120.2, "Data Requirements Identification/Definition"
- y. QS-QE-001, "Project Quality Instructions"
- z. PS-OWI-02, "Training"
- aa. PS-OWI-03, "Procurement Systems and Data Management"
- bb. PS-OWI-04, "Acquisition Leadtimes and Planning"
- cc. PS-OWI-05, "Review and Execution of Procurement Documents"
- dd. PS-OWI-06, "Socioeconomic Programs"
- ee. PS-OWI-07, "Noncompetitive Procurement Documentation"
- ff. PS-OWI-08, "Vendor Sources and Past Performance Data"
- gg. PS-OWI-09, "Preparation of Solicitations and Contracts"
- hh. PS-OWI-10, "Negotiated Procurement Documentation"
- ii. PS-OWI-11, "Precontract Cost"
- jj. PS-OWI-12, "Contract Delegations"

Marshall Procedures and Guidelines PS01		
Purchasing	MPG 5000.1	Revision: E
	Date: June 28, 2004	Page 7 of 25

kk. PS-OWI-13, "Transfer of Procurement Files to Close-out"

ll. PS-OWI-14, "Procurement Process Reviews and Surveys"

mm. PS-OWI-15, "Simplified Acquisition Threshold (SAT) Procurement Process"

P.5 REFERENCES

None

P.6 CANCELLATION

MPG 5000.1d dated July 18, 2003

Original signed by
Axel Roth for

David A. King
Director

Marshall Procedures and Guidelines PS01		
Purchasing	MPG 5000.1	Revision: E
	Date: June 28, 2004	Page 8 of 25

DOCUMENT CONTENT

1. DEFINITIONS

1.1 Contract. For the purpose of this procedure, this is a generic term referring to any award instrument. The award instrument may take the form of a contract as defined in FAR 2.101 and covered by FAR and NFS, or a grant or cooperative agreement as covered by NPR 5800.1. This term "contract," as used herein, has a different meaning than "contract" as used in MPG 1050.1, "Contract (Customer Agreement) Review."

1.2 Contract Specialist. A person with specialized training in procurement and knowledgeable of the FAR/NFS, who assists the Contracting Officer (CO) in performing his/her responsibilities.

1.3 Contracting Officer (CO). A person, appointed in accordance with the FAR, with the sole authority to enter into, administer, and/or terminate Government contracts and make related determinations and findings.

1.4 Contracting Officer's Technical Representative (COTR). A qualified government employee appointed by the CO to act as their technical representatives in managing the technical aspects of a particular contract. The technical organization is responsible for ensuring that the individual they recommend to the CO possesses training, qualifications, and experience commensurate with the duties and responsibilities to be delegated and the nature of the contract.

1.5 Contractor. The organization that provides a product or service to MSFC in a contractual situation.

1.6 Data Procurement Document (DPD). A compilation of all documents that describe the data requirements of a particular task or project for contractual efforts.

1.7 Requisitioner. The person who prepares or is otherwise responsible for initiating a purchase request.

1.8 Purchase. A purchase is an acquisition of supplies or services, including research and development.

1.9 Purchase request (PR). An electronic form generated by SAP used to initiate the procurement of supplies and services, recommend changes thereto, and request amendments of existing contracts and purchase orders. The PR has a 10 digit Document

Marshall Procedures and Guidelines PS01		
Purchasing	MPG 5000.1	Revision: E
	Date: June 28, 2004	Page 9 of 25

Control Number (DCN) as an identifier which is generated by SAP.

1.10 Qualified Purchase. A qualified purchase is one that must meet a "qualification requirement". A qualification requirement means a government requirement for testing or other Quality Assurance (QA) demonstration that must be completed before award of a contract.

1.11 QPL, QML, QBL. QPL = qualified products list, QML = qualified manufacturers list, QBL = qualified bidders list.

1.12 SAP. A financial software package implemented by the NASA Integrated Financial Management Program (IFMP). SAP is part of the Core Financial Module of IFMP. Core Financial is the IFMP backbone providing management and technical leadership for Agency-wide implementation of standard systems and processes necessary to support NASA's financial management activities. Detailed instructions on how to perform SAP transactions can be found at the Online Quick Reference Website (OLQR) <http://olqr-cf.ifmp.nasa.gov/>.

1.13 Supplier. The organization that provides a product/service to the customer. A supplier can be internal or external. In a contractual situation, a supplier is sometimes called a "contractor."

2. RESPONSIBILITIES

2.1 Procurement Office (PS). The Procurement Office provides acquisition support to MSFC. The Procurement Office is staffed with procurement professionals with specialized training in interpreting and applying the regulations set forth in the FAR, NFS, and NPR 5800.1. As shown in Appendix B, the Procurement Office is organized in departments with each providing acquisition support to assigned directorates or offices. Within the Procurement Office, the department level CO (or expressly named designee) will assign COs and other personnel to support a particular procurement or class of procurements. The Procurement Office has overall responsibility and authority for the purchasing process.

2.1.1 Contracting Officer. COs are the only officials with authority to contractually bind the government and have overall responsibility for the entire process, subsequent to the initial requirement determination. The specific authority of each CO is established in the appointment, and the signature authority for each level of CO is set forth in PS-OWI-05.

Marshall Procedures and Guidelines PS01		
Purchasing	MPG 5000.1	Revision: E
	Date: June 28, 2004	Page 10 of 25

2.1.2 Contract Specialist. The Contract Specialist is responsible to the CO for performing assigned work and actions in accordance with applicable regulations, policies, procedures, and instructions. Key duties include acquisition planning and coordination, preparation of procurement packages, and monitoring/providing status of procurements to management.

2.2 All Directorates and Offices. Each organization is responsible for determining its needs and what is to be acquired by purchase. In conjunction with the Safety and Mission Assurance (S&MA) Directorate, it is also responsible for specifying the safety, reliability, maintainability and QA requirements of the procurement, and for initiating requests to impose qualification requirements including obtaining necessary approvals.

2.2.1 Requisitioner. The Requisitioner is primarily responsible for identifying and initiating a particular purchase. The Requisitioner is responsible for conducting market research in preparation of developing a statement of work or specification, preparing the statement of work or specification, preparing the government estimate, preparing the purchase request and supporting justifications, and processing the purchase request through appropriate channels to the Procurement Office. In some instances, the purchase request may be prepared/processed by support personnel from the requiring activity with inputs from the Requisitioner. The Requisitioner will support the solicitation preparation and the evaluation/award process.

2.2.2 Program Control Personnel/Program Analyst. The Program Control Personnel/Program Analyst is assigned to a program/project and has the primary responsibility for funds tracking for that program/project.

2.2.3 Contracting Officer's Technical Representative (COTR). The COTR is appointed by the CO, normally from within the Requisitioner's organization, and may be the Requisitioner (see MWI 5100.1, "Procurement Requisitioners Guide," and PS-OWI-12). The COTR provides support to the CO through monitoring of contractor performance, reporting, and recommending corrective action.

2.3 Safety and Mission Assurance (S&MA) Directorate. The S&MA Office is responsible for determining the proper levels of safety, reliability, maintainability and QA that are to be imposed in purchases, monitoring compliance to the S&MA requirements, and providing assistance in determining whether provided products or services are ultimately acceptable.

Marshall Procedures and Guidelines PS01		
Purchasing	MPG 5000.1	Revision: E
	Date: June 28, 2004	Page 11 of 25

2.4 Accounting Operations Office (AOO). The AOO is responsible for reviewing purchase requests to ensure that each request has the proper authorizations and approvals and that funding is available for the procurement. The AOO has sole authority for certifying availability of funds.

2.5 Center Data Requirements Manager (CDRM). The CDRM provides guidance to Requisitioners to ensure that all data requirements are included in the procurement action to support FAR/NFS requirements and that Data Procurement Documents are prepared in accordance with the requirements of MWI 7120.2, "Data Requirements Identification/Definition."

3. PROCEDURE

MSFC accomplishes purchasing in three major phases: Presolicitation (3.1), Solicitation and Award (3.2), and Administration (3.3). Roles of the various organizations and personnel involved vary with the phase of the particular purchase, as identified in subsequent paragraphs. All purchases are made in strict compliance with the regulations set forth in NPR 5800.1 and/or the FAR and NFS. Pursuant to PS-OWI-02 and MPG 3410.1, "Training," all Procurement Office personnel are provided with detailed training on the proper interpretation and application of the various procurement regulations. The MSFC Procurement Office has overall responsibility for the purchasing process and periodically reviews or audits the overall process for efficacy per PS-OWI-14.

3.1 PRESOLICITATION

3.1.1 Requisitioner shall identify the need for a product or service. If the estimated cost of the action is less than \$2,500, the action should be processed in a simplified manner as a "micro-purchase" purchase card action pursuant to the procedures outlined in MWI 5113.1, "Governmentwide Commercial Purchase Card Operating Procedures." If the estimated cost of an action is expected to exceed \$2,500, the action should immediately be coordinated with the responsible program analyst and/or appropriate procurement department personnel. If the action is greater than \$100,000 and has not previously been placed on the MSFC Acquisition Forecast or on the Consolidated Contracting Initiative (CCI) list, it must be placed on these lists immediately.

3.1.2 Requisitioner, with assistance of the responsible procurement department personnel, shall initiate appropriate market research to determine if commercial products are available

Marshall Procedures and Guidelines PS01		
Purchasing	MPG 5000.1	Revision: E
	Date: June 28, 2004	Page 12 of 25

and if commercial financing should be utilized. (See MWI 5100.1, "Procurement Requisitioners Guide")

3.1.3 Requisitioner shall develop the description of the requirement, including, as required, a statement of work, specifications, data procurement document (required for all Research & Development (R&D), services and non-commercial items contracts), delivery schedule, or other appropriate descriptions of the work. (See MWI 5100.1, "Procurement Requisitioners Guide," and MWI 7120.2, "Data Requirements Identification/Definition"). When the requirement is for spare parts for a nonexpendable major system or other systems at the discretion of the project manager, the requisitioner and responsible procurement personnel shall consult NPR 5900.1 "NASA Spare Parts Acquisition" for guidance. This NPR provides for a uniform policy for the acquisition and provisioning of NASA spare parts. The requirement shall be coordinated with the responsible procurement personnel who will review it, advise the Requisitioner regarding availability of an existing contract against which the action could be most expeditiously procured or whether a separate procurement action is required, and finalize required documents as necessary. Maximum use of existing contracts is strongly encouraged. (See MWI 5100.1, "Procurement Requisitioners Guide," and MWI 4530.1, "Flight Hardware Support Operations (FHSO) Component Acquisition, Inventory Control, and Kitting Services")

3.1.4 Requisitioner and S&MA shall submit work descriptions, per MWI 5100.1, "Procurement Requisitioners Guide," and QS-QE-001, to S&MA for review. S&MA will, considering the type of product or service being procured, assist the Requisitioner in determining and specifying the appropriate S&MA requirements to be imposed on the action, including requirements for reliability and maintainability.

3.1.5 Requisitioner and S&MA, in consultation with the CO, shall determine whether to impose formal qualification requirements and, if they are to be imposed, whether existing QPL, QML, or QBL will satisfy the requirement.

3.1.6 Requisitioner and Program Control/Analyst shall prepare purchase request using SAP for all acquisitions in accordance with MWI 5100.1, "Procurement Requisitioners Guide." Before initiating the formal review/approval process, which will eventually result in the submittal of the purchase request to the procurement organization, ensure that the purchase request is complete and contains all ancillary documentation (such as the purchase request form, S&MA and other necessary approvals, funding, market research results, statements of work,

Marshall Procedures and Guidelines PS01		
Purchasing	MPG 5000.1	Revision: E
	Date: June 28, 2004	Page 13 of 25

specifications, and, if applicable, documentation supporting a noncompetitive procurement).

3.1.7 If the prospective contractor initiates the procurement activity by submitting an unsolicited proposal, the proposal shall be forwarded to the Procurement Office immediately upon receipt. The proposal shall be processed in accordance with MWI 5115.1, "Processing Unsolicited Proposals."

3.2 SOLICITATION AND AWARD

3.2.1 For actions in excess of \$25,000, the Requisitioner shall forward, by electronic means, a "preliminary" purchase request package to the appropriate procurement department. Upon receipt of the purchase request, procurement personnel will initiate a review of accompanying documentation. During this review phase, Procurement Office personnel will ensure the completion of all market research activity and document the results of such research by identifying potential sources (see PS-OWI-07, PS-OWI-08, PS-OWI-15, and MWI 5100.1, "Procurement Requisitioners Guide") and any unusual or industry-unique provisions that may be encountered. Again note that the Procurement Office should be notified when a potential requirement is first identified (see paragraph 3.1.2) to allow for its full participation in the market research process and facilitate the timely processing of the action.

3.2.2 Requisitioner, with support and assistance from procurement personnel and AOO, shall route purchase requests through the release cycle per SAP and the purchasing standard procedure flow diagram set forth in MWI 5100.1, "Procurement Requisitioners Guide," Appendix A. Officials identified in SAP to review and approve purchase requests shall review purchase requests and supporting documents for validity of the requirement and completeness of the accompanying documentation (e.g., the incorporation of appropriate S&MA provisions, reasonableness of estimated costs, availability of funds, and compliance with applicable regulations, policies, and sound business practices).

3.2.3 Procurement Office department level CO or designee shall ensure that all purchase requests are complete, clearly define the requirements, and have been processed through the S&MA Directorate, as appropriate, per MWI 5100.1, "Procurement Requisitioners Guide," and QS-QE-001, before accepting the action and beginning the solicitation process. If necessary, contact the Requisitioner for any additional information required to complete the purchase request or return the purchase request to the Requisitioner. On receipt of a properly prepared purchase request, formally assign a Contract Specialist and/or CO.

Marshall Procedures and Guidelines PS01		
Purchasing	MPG 5000.1	Revision: E
	Date: June 28, 2004	Page 14 of 25

3.2.4 Contracting Officer and Contract Specialist shall consider the complexity, dollar value, commercial availability, and competitive aspects of the requirement and select an appropriate procurement methodology and contract type. Prepare documentation associated with the procurement approach selected (as mandated by the FAR/NFS) and coordinate required reviews. (See PS-OWI-04, PS-OWI-05, PS-OWI-09, PS-OWI-15, and MWI 5000.1, "Processing NASA Research Announcements (NRAs) and Cooperative Agreement Notices (CANs)") If a qualified purchase, establish an appropriate qualified source list (see 3.1.5 and MWI 5330.1 "Evaluation of Contractors, Suppliers, and Vendors") and solicit only sources on that list, to the extent permitted by the FAR.

3.2.5 Contracting Officer and Contract Specialist prepare, process, and issue an appropriate solicitation as determined by the procurement method selected. (See PS-OWI-05, PS-OWI-09, PS-OWI-15, and MWI 5000.1, "Processing NASA Research Announcements (NRAs) and Cooperative Agreement Notices (CANs)") Once the solicitation is issued, the CO or designated Contract Specialist becomes the sole point of contact for any questions related to the procurement. The CO is responsible for coordinating and leading the establishment of a formal proposal evaluation team when required. (See PS-OWI-10 and MWI 5115.2, "Source Evaluation Board/Committee (SEB/C) Process") Issuance of any amendment to, or any subsequent decision to cancel a solicitation, is the responsibility of the CO. In preparing the solicitation, the Contract Specialist or CO shall:

3.2.5.1 Ensure the solicitation appropriately reflects all key elements of the requirement (as defined by the Requisitioner and others per paragraph 3.1.4) and that the evaluation criteria appropriately consider all such elements.

3.2.5.2 Based on the complexity, criticality, and dollar value of the acquisition, ensure appropriate qualifications and responsibility information is collected as part of the offeror past performance assessment. Use pre-award quality audits where appropriate. (See MWI 5330.1, "Evaluation of Contractors, Suppliers, and Vendors")

3.2.5.3 Conduct or lead any formal briefings regarding a purchase request during the solicitation phase. (See MWI 5115.2, "Source Evaluation Board/Committee (SEB/C) Process")

3.2.6 The CO, or designated Contract Specialist, shall:

3.2.6.1 Have responsibility for the receipt and safeguarding of procurement sensitive documentation, including responses to

Marshall Procedures and Guidelines PS01		
Purchasing	MPG 5000.1	Revision: E
	Date: June 28, 2004	Page 15 of 25

solicitations. (See MWI 5115.2, "Source Evaluation Board/Committee (SEB/C) Process")

3.2.6.2 Coordinate and lead all activities associated with the evaluation and pre-award phase of a procurement. (See PS-OWI-06, PS-OWI-10, PS-OWI-15, MWI 5100.1, "Procurement Requisitioners Guide," and MWI 5115.2, "Source Evaluation Board/Committee (SEB/C) Process")

3.2.6.3 Verify contractor responsibility. If a contractor is found to be nonresponsible, award may not be made to that contractor. This determination of responsibility (which requires reviewing the "List of Parties Excluded from Federal Procurement and Nonprocurement Programs" and, as appropriate, coordination with the Small Business Specialist) represents an evaluation of past performance and adherence to quality standards, and is a significant part of the overall determination of an acceptable contractor.

3.2.6.4 Prepare and maintain, as part of the official contract file, the records of the evaluation of offers. (See PS-OWI-10, PS-OWI-15 and MWI 5115.2, "Source Evaluation Board/Committee (SEB/C) Process")

3.2.7 CO and Contract Specialist shall document the procurement, coordinate any source selection reviews/approvals, and award the contract. (See PS-OWI-05, PS-OWI-10, PS-OWI-11, PS-OWI-15, MWI 5000.1, "Processing NASA Research Announcements (NRAs) and Cooperative Agreement Notices (CANs)," and MWI 5115.2, "Source Evaluation Board/Committee (SEB/C) Process") Coordinate and conduct any requested debriefings. Coordinate reviews and responses to any protests.

3.3 ADMINISTRATION

3.3.1 The CO has overall responsibility for managing and monitoring contractor performance. Based upon the complexity and requirements of the contract, the CO may delegate authority to others as described below and in PS-OWI-12. Key areas that are the responsibility of the CO include:

3.3.1.1 Ensuring that contract terms and conditions are satisfied. A delegation of limited responsibility to a COTR for assistance in performing specific tasks is permitted. Department of Defense (DOD) field support services are also to be utilized as needed in this regard, including delegation for government source inspection. (See PS-OWI-12, QS-QE-001, and MWI 5100.1, "Procurement Requisitioners Guide")

Marshall Procedures and Guidelines PS01		
Purchasing	MPG 5000.1	Revision: E
	Date: June 28, 2004	Page 16 of 25

3.3.1.2 Modifying the contract is the sole responsibility of the CO. NASA's policy (MWI 5143.1, "Contract Change Process") is that changes shall be held to a minimum, that the impact of a change on technical schedule and costs/prices should be negotiated in advance of issuance of a change, and that unnegotiated changes be definitized on strict, short deadlines.

3.3.1.3 With assistance of program/technical personnel, the CO shall ensure that all deliverables are received and accepted in accordance with the contract terms and conditions, and MPG 8730.1, "Inspection and Testing." If the deliverable is a service, the CO shall obtain a memorandum from the Requisitioner/COTR accepting the service. This acceptance memo cannot be delegated.

3.3.2 CO, Contract Specialist, COTR, and S&MA shall monitor (or delegate authority to monitor) contractor performance, document deliveries, and accept a quality product or service meeting all safety requirements. MWI 5116.1, "Evaluation of Contractor Performance Under Contracts with Award Fee Provisions," specifically addresses contracts with award-fee provisions. MWI 5330.2, "NASA Engineering and Quality Audit (NEQA)," addresses NEQA.

3.3.2.1 The COTR and S&MA functions are of particular importance during this monitoring phase. The CO, with input from the COTR and S&MA Office, will identify the need for and, if appropriate, conduct a post-award orientation to ensure that all involved in the process understand their responsibilities. The COTR, if required by the COTR delegation, shall prepare a surveillance plan, which is provided to the CO. (See MWI 5100.1, "Procurement Requisitioners Guide")

3.3.2.2 If specified in a customer agreement, customer inspection of contractor-supplied product shall be defined in the contract and will be administered/coordinated by S&MA. Such customer inspection is in addition to other contract inspection requirements and will not be used as a substitute for MSFC product inspection.

3.3.3 In those instances where the solicitation document noted that source inspection could/would be required, the S&MA Office will review the contract (including the final statement of work and product/service specification) to verify whether the prescribed products or services still require government source inspection.

3.3.4 S&MA monitors and provides management oversight of those delegated QA functions that are performed at the contractors'

Marshall Procedures and Guidelines PS01		
Purchasing	MPG 5000.1	Revision: E
	Date: June 28, 2004	Page 17 of 25

facilities. Conducts periodic safety and quality audits in accordance with MWI 5330.1, "Evaluation of Contractors, Suppliers, and Vendors." Performs receiving inspection at MSFC in accordance with MPG 8730.1, "Inspection and Testing." In those instances where MSFC retains all quality functions, S&MA will perform duties as outlined in the approved program/project quality and safety and health plans and as set forth in MWI 5330.1, "Evaluation of Contractors, Suppliers, and Vendors," and QS-QE-001.

3.3.5 All those involved in monitoring contractor performance are responsible for reporting to the CO any performance discrepancies or problems. Where corrective action is needed, the COTR or S&MA will provide the CO with a recommendation as to the action required.

3.3.6 Only the CO can require a contractor to take corrective action. When a nonconforming product is received from a contractor, the nonconforming product will be dispositioned in accordance with MPG 8730.3, "Control of Nonconforming Product," MPG 1280.4, "MSFC Corrective Action System," and pertinent contract clauses. (See MWI 5100.1, "Procurement Requisitioners Guide")

3.3.7 The CO and the close-out office are responsible for contract close-out and records disposition. (See PS-OWI-08 and PS-OWI-13)

4. RECORDS

Procurement records (see MPG 1440.2, "MSFC Records Management Program") are identified in Appendix D. Retention requirements for procurement file documentation are set forth in the FAR, NFS, and NPR 1441.1.

5. FLOW DIAGRAM

5.1 See MWI 5100.1 Procurement Requisitioners Guide, Appendix A for purchase request flow diagram.

5.2 Detailed instructions (which include process flow diagrams) on how to perform SAP transactions can be found at the Online Quick Reference Website (OLQR) <http://olqr-cf.ifmp.nasa.gov/>.

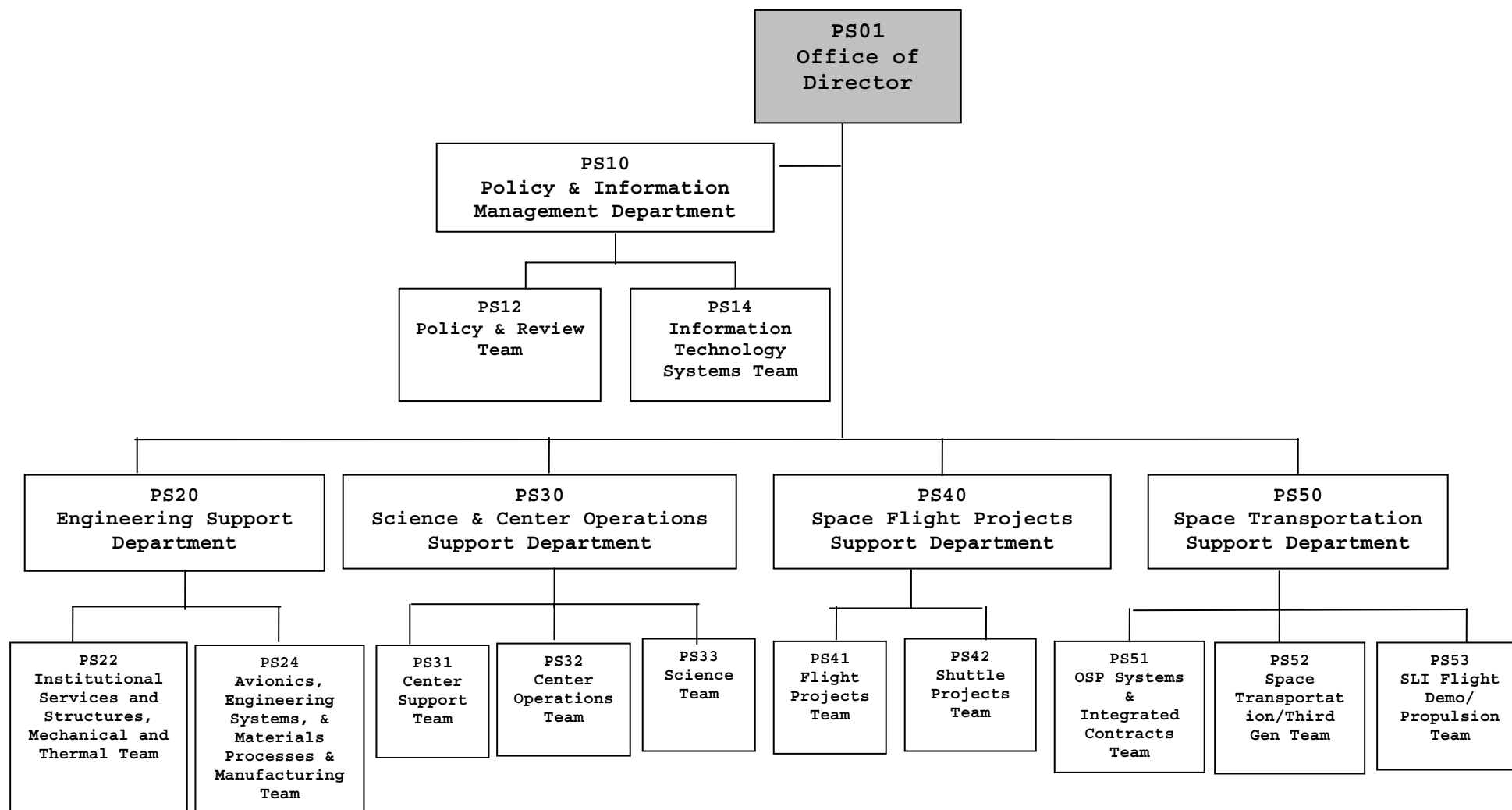
Marshall Procedures and Guidelines PS01		
Purchasing	MPG 5000.1	Revision: D
	Date: July 18, 2003	Page 18 of 25

APPENDIX A
PROCUREMENT PROCESS FLOW DIAGRAM

(SEE MWI 5100.1, "PROCUREMENT REQUISITIONERS GUIDE," APPENDIX A)

Marshall Procedures and Guidelines PS01		
Purchasing	MPG 5000.1	Revision: E
	Date: June 28, 2004	Page 19 of 25

APPENDIX B PROCUREMENT ORGANIZATION CHART



CHECK THE MASTER LIST at <https://repository.msfc.nasa.gov/directives/directives.htm>
VERIFY THAT THIS IS THE CORRECT VERSION BEFORE USE

Marshall Procedures and Guidelines PS01		
Purchasing	MPG 5000.1	Revision: E
	Date: June 28, 2004	Page 20 of 25

APPENDIX C ACRONYMS

AOO	Accounting Operations Office
CAN	Cooperative Agreement Notice
CO	Contracting Officer
COTR	Contracting Officer Technical Representative
CPAF	Cost Plus Award Fee
DOD	Department of Defense
DPD	Data Procurement Document
FAR	Federal Acquisition Regulations
ISO	International Organization for Standardization
JOFOC	Justification for Other Than Full and Open Competition
MPD	Marshall Policy Directive
MPG	Marshall Procedures and Guidelines
MSFC	Marshall Space Flight Center
MWI	Marshall Work Instructions
NFS	NASA FAR Supplement
NPR	NASA Procedural Requirements
NRA	NASA Research Announcements
OWI	Organizational Work Instruction
PS	Procurement Office
QA	Quality Assurance
QBL	Qualified Bidder's List
QML	Qualified Manufacturer's List
QPL	Qualified Products List

Marshall Procedures and Guidelines PS01		
Purchasing	MPG 5000.1	Revision: E
	Date: June 28, 2004	Page 21 of 25

SEB/C Source Evaluation Board/Committee

S&MA Safety and Mission Assurance

Marshall Procedures and Guidelines PS01		
Purchasing	MPG 5000.1	Revision: E
	Date: June 28, 2004	Page 22 of 25

APPENDIX D TYPICAL PROCUREMENT RECORDS

Note: Official Contract Files are maintained by various procurement professionals located in various offices within the Procurement Office. The Official Contract Files are filed sequentially by the responsible procurement professional. The documents contained in each Official Contract File are indexed and filed in the order as specified on NASA Form 1098, Checklist for Contract Award File Content; MidRange Checklist for Contract Award File Content; or, for simplified acquisitions, as specified in PS-OWI-15. The matrix below indicates the typical location of records. The CO has the prerogative to maintain records in other locations on a case-by-case basis.

RECORD	CUSTODIAN	LOCATION	RETENTION GUIDE
Purchase Request	Procurement Office	Official Contract File	NPR 1441.1, Schedule 5
Acquisition Planning Documentation	Procurement Office	Official Contract File	NPR 1441.1, Schedule 5
Noncompetitive Procurement Documentation	Procurement Office	Official Contract File	NPR 1441.1, Schedule 5
Solicitation Document (including any amendments thereto)	Procurement Office	Official Contract File	NPR 1441.1, Schedule 5
Copies of all Offers Received	Procurement Office	Official Contract File	NPR 1441.1, Schedule 5
Prenegotiation Position Memorandums/ Briefing Charts	Procurement Office	Official Contract File	NPR 1441.1, Schedule 5
Competitive Range/ Determination of Finalists Memorandum/ Briefing Charts	Procurement Office	Official Contract file	NPR 1441.1, Schedule 5
Price Negotiation Memorandum/Briefing	Procurement Office	Official Contract File	NPR 1441.1, Schedule 5
Source Selection Statement	Procurement Office	Official Contract File	NPR 1441.1, Schedule 5

Marshall Procedures and Guidelines PS01		
Purchasing	MPG 5000.1	Revision: E
	Date: June 28, 2004	Page 23 of 25

APPENDIX D (Continued)
TYPICAL PROCUREMENT RECORDS

RECORD	CUSTODIAN	LOCATION	RETENTION GUIDE
Award Document	Procurement Office	Official Contract File	NPR 1441.1, Schedule 5
Modifications to the Original Award Document	Procurement Office	Official Contract File	NPR 1441.1, Schedule 5
Copies of Letters of Delegation including COTR Appointments	Procurement Office	Official Contract File	NPR 1441.1, Schedule 5
Contract Award Fee Files	Procurement Office	PS10/PEB Executive Secretary	NPR 1441.1, Schedule 5
Certificate of Quality (if applicable)	Procurement Office	Official Contract File	NPR 1441.1, Schedule 5
Copies of Receiving and Inspection Reports	Procurement Office	Official Contract File	NPR 1441.1, Schedule 5
COTR Correspondence Files (Provided to the Official Contract File at contract closeout)	COTR/Procurement Office	COTR Location/Official Contract File	NPR 1441.1, Schedule 5
Essential Technical Documentation as Determined by the COTR	Various Offices*	Various Locations*	NPR 1441.1
Certificates of Completion	Procurement Office	Official Contract File	NPR 1441.1, Schedule 5
Copy of proof of final payment	Procurement Office	Official Contract File	NPR 1441.1, Schedule 5
Copies of any Other Key Correspondence and/or Documents the CO Deems Essential to the File and Elects to Keep with Official Procurement File	Procurement Office	Official Contract File	NPR 1441.1, Schedule 5
Training Records of Procurement Office Personnel	Human Resources	Personnel Records	Electronically maintained until employee separates
Individual Development Plans	Procurement	PS10/Training Focal Point	NPR 1441.1, Schedule 5
Records Documenting Appointment of Contracting Officers	PS10 Department Manager	PS10 Department Manager	NFS

Marshall Procedures and Guidelines PS01		
Purchasing	MPG 5000.1	Revision: E
	Date: June 28, 2004	Page 24 of 25

APPENDIX D (Continued)
TYPICAL PROCUREMENT RECORDS

RECORD	CUSTODIAN	LOCATION	RETENTION GUIDE
Records/Logs relating to assigning numbers (contract/purchase order/delivery order/cooperative agreement, grant numbers, etc.)	Procurement Support Contractor (Eagle Systems and Services)	Procurement Support Contractor (Eagle Systems and Services)	NPR 1441.1, Schedule 5

* The COTR is responsible to ensure that Record Custodians are assigned to maintain and retire all contract technical documentation/data deliverables. The Record Custodian may be the COTR, Procurement Office, COTR designee, or the MSFC Repository. The Official Contract File is not required to contain a copy of all technical documentation/data deliverables received on the contract, but should contain all correspondence related to technical documentation/data deliverables receipt and approval/disapproval.

Marshall Procedures and Guidelines PS01		
Purchasing	MPG 5000.1	Revision: E
	Date: June 28, 2004	Page 25 of 25

APPENDIX D (Continued)
TYPICAL PROCUREMENT RECORDS

RECORD	CUSTODIAN	LOCATION	RETENTION GUIDE
Organizational Work Instruction Files	Procurement Office	PS12/Policy and Review	NPR 1441.1, Schedule 5
Weekly and Annual Credit Card Audit	Procurement Office	PS12/Policy and Review	NPR 1441.1, Schedule 5
Semi-Annual Self-Assessment Review (Procurement)	Procurement Office	PS10 Department Manager	NPR 1441.1, Schedule 5
Annual Self-Assessment Review (Small and Disadvantaged Business Utilization)	Procurement Office	PS10 Department Manager	NPR 1441.1, Schedule 5
NASA Headquarters Procurement Survey	Procurement Office	PS10 Department Manager	NPR 1441.1, Schedule 5
ISO 9000 Annual Audit	Procurement Office	PS10 Department Manager	NPR 1441.1, Schedule 5
Annual Documentation Review (conducted prior to ISO 9000 Annual Audit)	Procurement Office	PS10 Department Manager	NPR 1441.1, Schedule 5
Periodic and Informal Supervisory Audits and Reviews	Procurement Office	PS Department managers	NPR 1441.1, Schedule 5
Periodic Customer Surveys	Procurement Office	PS Department Managers	NPR 1441.1, Schedule 5
PEB Files	Procurement Office	PS10/PEB Executive Secretary	NPR 1441.1, Schedule 5
Past Performance Data base on Award Fee Contracts	Procurement Office	PS10/PEB Executive Secretary	NPR 1441.1, Schedule 5
Procurement Discrepancy Tracking System	Procurement Office	PS20 Department	NPR 1441.1, Schedule 5
Past Performance Data base based on Surveys	Procurement Office	Official Contract File & PS10	NPR 1441.1, Schedule 5